

**Safety Review Committee**  
**May 16, 2003**  
**10:00 AM – 12:00 PM**  
**Minutes**

**Members Present**

Joel Ager, Michael Banda, Sharon Doyle, Ben Feinberg (Chair), Ken Fletcher, Ed Lampo (Secretary), Peter Lichty, Don Lucas, Othon Monteiro, Linfeng Rao, Linda Smith, Scott Taylor, Weyland Wong, Linda Wuy, Hisao Yokota

**Members Absent**

Dennis Collins, Richard Kadel, Mack Kennedy, Steve Lundgren, Augusto Macchiavelli,

**Others Present**

Don Bell, John Chernowski, Joyce Freedman, Mark Freiberg, Robin Wendt, Otis Wong

**Previous Minutes**

The meeting was called to order at 10:05 AM by Ben Feinberg, SRC chair. Peter Lichty offered an amendment to the March minutes. Under his presentation, **Workers' Compensation Costs at LBNL**, the second sentence should read, "For the third quarter of FY2002 the state-wide average charge ~~to LBNL~~ for Workers Comp insurance was \$5 per \$100 of payroll ...." It was also noted that LBNL pays substantially less than this amount. The minutes of the March 21, 2003 meeting were accepted as amended.

**Ergo Matching Grants**

The proposals submitted by EETD and Life Sciences have been accepted. Earth Sciences Division is resubmitting; there was a misunderstanding as to the criteria.

**MESH Schedule Determinations**

Letters explaining possible variations from the triennial schedule have been sent to the five divisions currently undergoing MESH Reviews.

**Laser Safety Panel**

Representatives from various institutions have been selected (e.g., Frank Speck was chosen from UCB) to review the laser safety program of LBNL and to investigate the recent laser incident by an LBNL staff member while in a campus laboratory. Don Lucas has agreed to chair the Laser Safety Panel.

**UCB/LBNL: Safety**

Mark Freiberg, Director UCB Office of EH&S, presented some perspective on the makeup of UC. There are 33,145 undergraduates and graduates on campus, with 8,157 faculty and 13,108 staff members. There are over 200 departments in more than 130 buildings plus 15 field stations. Control is primarily at the department level. Though it is not a DOE facility, funding of 55% comes from federal sources -- accounting for some \$0.5 billion per year. The Campus is generally open public space. Governance is by the faculty (Academic Senate). It is highly decentralized. There are a wide variety of activities and a transient population. There are a multitude of stakeholders. The UC EH&S staff is small; having only 45 professionals. This year there will be a 10% cut effective July 2003.

Like LBNL, UCB has a variety of Research Oversight Committees

- Animal Care & Use
- Laboratory & Environmental BioSafety
- Protection of Human Subjects
- Diving Control Board
- Hazardous Waste Management
- Operations & Safety
- Non-Ionizing Radiation Safety
- Radiation Safety
- Strawberry Creek Environmental Quality
- Research Compliance

The EH&S Functions / Teams at UCB are

- Health & Safety
- Fire Prevention
- Hazardous Waste Management
- Radiation Safety
- Environmental Compliance
- Officewide Program & Services
- Administrative Programs & Services

Related functions, not part of EH&S, are

- Worker's Comp
- UC Health Services
- Berkeley Fire Dept
- UC Police
- Research Compliance

The UC/LBL-MOU was written first in 1993. Basically it states that LBNL safety rules apply on the hill and in Donner & Calvin labs on the campus. Conversely, UCB rules/procedures apply in other "Appendix J (now I)" space. Overall, the 1993 MOU sets a tone of hard separation of the two EH&S programs.

Recent changes of UCB EH&S include:

- New Director (2002)
- Training Coordinator (2002)
- Radiation Safety function added (2003)
- Lab & Shop Inspection Program initiated (2003)

The new UCB program enhances cooperation with LBNL by:

- Revising MOU
- Shared Facility Inspections
- Shared Researcher Training
- Frequent EH&S Staff Interactions
- Possible UCB use of JHQ process
- Possible adoption of ISEM on Campus

## **Update: 2003 MESH Reviews**

**Advanced Light Source** is scheduled to meet with the division 5/23 and interview 6/10.

**Directorate** MESH team has met once and will meet again 5/28.

**EETD** team will meet with the division 6/27 and expect to complete report in July.

**PBD** MESH team met with division 5/13 and will interview/inspect 6/2; final report by July.

**Physics** team scheduled for August meetings; paper work from division by July 1.

## **ISM Self-Assessment: Certification**

John Chernowski presented status report of the current pilot program that is being tested at LBNL.

### **Background**

- Berkeley Lab initiative to benchmark and implement best management practices
- FY03 contract includes measures to move toward best management practices, including safety management systems (VPP, EMS, etc.) and Self-Assessment certification
- DOE- EH is piloting a Self-Assessment Certification program
  - Berkeley Lab, EH, and SC agreed to pilot at Berkeley

### **What is it?**

- A voluntary, independent evaluation against established and agreed upon objectives, criteria, and process.
- Twelve performance objectives – based on INPO principles for Self-Assessment and Corrective Actions
  - SA process defined, implemented throughout organization
  - Management involved
  - Corrective actions managed
  - SA process continually appraised

### **Why Certify Self-Assessment Programs?**

- Improve performance of self-assessment activities, corrective action implementation
  - Avoid unexpected independent/ external findings
- Increase management awareness of performance
- Reduce direct DOE line or independent oversight of contractor activities and performance

### **Self-Assessment Certification Process**

- Self-evaluation by Berkeley Lab
- Evaluation by an on-site Certification Review Team
  - Review Team Leader and other team members (3) jointly selected by DOE and Berkeley Lab
- Review/ Approval by DOE Self-Assessment Certification Board
  - Five members experienced in self-assessment programs -senior DOE officials, contractor peer, industry expert
  - Consider Review Team Report, meet with Berkeley Lab representatives

### **Onsite Certification Team Review at Berkeley Lab**

- April 28 – May 2, 2003

- Chip Lagdon, team leader, DOE-HQ
- Larry Coulson, retired, former Assistant Director at Fermilab
- Jack Anderson, ES&H Director at PPPL
- George Detsis, DOE-HQ

#### **Review Team Results - Findings**

- Laboratory Corrective Action Tracking System (LCATS)
  - Expand use beyond workspace safety deficiencies, also track programmatic and safety system deficiencies
- Expand trending and causal analysis of lower level findings
- Strengthen training requirements
  - EHS 20 Training for Supervisors
  - Self-Assessment Training for assessors
- Improve/ integrate tracking of results from different forms of appraisal

#### **Review Team Results - Noteworthy**

- Multiple forms of assessment
- Evaluation, prioritization, and resolution of deficiencies discovered during appraisals
- Annual Reports – ES&H Self-Assessment Report and Safety Review Committee Report
- Communication forums
  - Division Safety Coordinator monthly meetings
  - EH&S Division Liaison quarterly meetings
- Raising expectations/ increasing difficulty of Division Self-Assessment performance metrics
- New Safety Review Committee policy on frequency of Management of ES&H reviews
- Improvements made to FY03 Integrated Functional Appraisal process
- Invitation of independent appraisal of Self-Assessment and inclusion as a contract measure

#### **Rating Criteria**

- SA is defined and institutionalized.
- Personnel are trained.
- The SA measures performance expectations and applicable standards.
- The SA process is implemented throughout the organization.
- Management prioritizes & tracks SA results.
- Management encourages identifying a range of problems and best practices.
- Management defines problem reporting system & evaluation processes.
- Reported problems are screened, evaluated, and prioritized commensurate with their significance.
- CAs are completed timely consistent with their significance.
- Problems are analyzed at a low level before significant problems result.
- Imp. of CA designed to prevent recurrence of significant problems are evaluated for effectiveness.
- The SA program is assessed & evaluated for effectiveness.

**Next Steps**

- LBNL provided comments on areas for improvement on May 9, 2003
- Final Report issued to LBNL May 23, 2003
- LBNL to provide written response describing actions taken and/or planned for identified areas for improvement
- Certification Board meeting to grant/ deny certification
- Continuous improvement

**Review Team -- Final Conclusion**

- Recommend moving forward with the certification process.

Ben asked why should LBNL go through the certification process? John's answer was that in addition to improving the Self-Assessment program, it should result in reduced DOE oversight.

**Update: Matrix Staff Policy**

Peter Lichty reported that the policy, after completing SRC review, underwent some editorial revisions and is now ready for PUB 3000.

**Status: Supervisor Training**

Robin explained that the SRC proposal has been accepted by Sally Benson, but has not gone any farther. The supervisor/lead training program will be pursued.

The meeting was adjourned at 11:39 AM.

Respectfully submitted,

Edward J. Lampo  
SRC Secretary